

For Six Month Period Ending DEC 31 2002
(Insert date)

I - REGISTRANT

1. (a) Name of Registrant

(b) Registration No.

Dellums, Brauer, Halterman and Associates, LLC

5442

(c) Business Address(es) of Registrant

1736 Franklin Street, Suite 500
Oakland, CA 94612

2. Has there been a change in the information previously furnished in connection with the following:

(a) If an individual:

(1) Residence address

Yes ☐

No ☐

(2) Citizenship

Yes ☐

No ☐

(3) Occupation

Yes ☐

No ☐

(b) If an organization:

(1) Name

Yes ☐

No ☒

(2) Ownership or control

Yes ☐

No ☒

(3) Branch offices

Yes ☐

No ☒

(c) Explain fully all changes, if any, indicated in items (a) and (b) above.

IF THE REGISTRANT IS AN INDIVIDUAL, OMIT RESPONSE TO ITEMS 3, 4, AND 5(a).

3. If you have previously filed Exhibit C¹, state whether any changes therein have occurred during this 6 month reporting period.

Yes ☐

No ☐

If yes, have you filed an amendment to the Exhibit C?

Yes ☐

No ☐

If no, please attach the required amendment.

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¹ The Exhibit C, for which no printed form is provided, consists of a true copy of the charter, articles of incorporation, association, and by laws of a registrant that is an organization. (a waiver of the requirement to file an Exhibit C may be obtained for good cause upon written application to the Assistant Attorney General, Criminal Division, Internal Security Section, U.S. Department of Justice, Washington, D.C. 20530.)

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4. (a) Have any persons ceased acting as partners, officers, directors or similar officials of the registrant during this 6 month reporting period? Yes ☐ No ☒

If yes, furnish the following information:

Name	Position	Date Connection Ended
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- (b) Have any persons become partners, officers, directors or similar officials during this 6 month reporting period? Yes ☐ No ☒

If yes, furnish the following information:

Name	Residence Address	Citizenship	Position	Date Assumed
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5. (a) Has any person named in item 4(b) rendered services directly in furtherance of the interests of any foreign principal? N/A
Yes ☐ No ☐

If yes, identify each such person and describe his service.

- (b) Have any employee or individuals, who have filed a short form registration statement, terminated their employment or connection with the registrant during this 6 month reporting? Yes ☐ No ☒

If yes, furnish the following information:

Name	Position or connection	Date terminated
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- (c) During this six month reporting period, has the registrant hired as employees or in any other capacity, any persons who rendered or will render services to the registrant directly in furtherance of the interests of any foreign principal(s) in other than a clerical or secretarial, or in a related or similar capacity? Yes ☐ No ☒

If yes, furnish the following information:

Name	Residence Address	Citizenship	Position	Date Assumed
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6. Have short form registration statements been filed by all of the persons named in Items 5(a) and 5(c) of the supplemental statement? Yes ☒ No ☐

If no, list names of persons who have not filed the required statement.

II - FOREIGN PRINCIPAL

7. Has your connection with any foreign principal ended during this 6 month reporting period?

Yes ☐No ☒

If yes, furnish the following information:

Name of foreign principal

Date of termination

8. Have you acquired any new foreign principal² during this 6 month reporting period?

Yes ☐No ☒

If yes, furnish following information:

Name and address of foreign principal

Date acquired

9. In addition to those named in Items 7 and 8, if any, list foreign principals² whom you continued to represent during the 6 month reporting period.

Republic of Haiti

10. **EXHIBITS A AND B**

(a) Have you filed for each of the newly acquired foreign principals in Item 8 the following:

N/A

Exhibit A³

Yes ☐

No ☐

Exhibit B⁴

Yes ☐

No ☐

If no, please attach the required exhibit.

(b) Have there been any changes in the Exhibits A and B previously filed for any foreign principal whom you represented during this six month period?

Yes ☐

No ☒

If yes, have you filed an amendment to these exhibits?

Yes ☐

No ☐

If no, please attach the required amendment.

² The term "foreign principal" includes, in addition to those defined in section 1(b) of the Act, an individual organization any of whose activities are directly or indirectly supervised, directed, controlled, financed, or subsidized in whole or in major part by a foreign government, foreign political party, foreign organization or foreign individual. (See Rule 100(a) (9)). A registrant who represents more than one foreign principal is required to list in the statements he files under the Act only those principals for whom he is not entitled to claim exemption under Section 3 of the Act. (See Rule 208.)

³ The Exhibit A, which is filed on form CRM-157 (Formerly OBD-67) sets forth the information required to be disclosed concerning each foreign principal.

⁴ The Exhibit B, which is filed on Form CRM-155 (Formerly OBD-65) sets forth the information concerning the agreement or understanding between the registrant and the foreign principal.

III - ACTIVITIES

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11. During this 6 month reporting period, have you engaged in any activities for or rendered any services to any foreign principal named in Items 7, 8, and 9 of this statement? Yes ☒ No ☐

If yes, identify each such foreign principal and describe in full detail your activities and services:

Republic of Haiti. See attached for description.

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12. During this 6 month reporting period, have you on behalf of any foreign principal engaged in political activity⁵ as defined below? Yes ☒ No ☐

If yes, identify each such foreign principal and describe in full detail all such political activity, indicating, among other things, the relations, interests and policies sought to be influenced and the means employed to achieve this purpose. If the registrant arranged, sponsored or delivered speeches, lectures or radio and TV broadcasts, give details as to dates, places, of delivery, names of speakers and subject matter.

Republic of Haiti. See attached for description

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13. In addition to the above described activities, if any, have you engaged in activity on your own behalf which benefits any or all of your foreign principals? Yes ☐ No ☒

If yes, describe fully.

⁵ The term "political activities" means any activity that the person engaging in believes will, or that the person intends to, in any way influence any agency or official of the Government of the United States or any section of the public within the United States with reference to formulating, adopting or changing the domestic or foreign policies of the United States or with reference to political or public interests, policies, or relations of a government, a foreign country or a foreign political party.

IV - FINANCIAL INFORMATION

14. (a) RECEIPTS-MONIES

During this 6 month reporting period, have you received from any foreign principal named in Items 7, 8, and 9 of this statement, or from any other source, for or in the interests of any such foreign principal, any contributions, income or money either as compensation or otherwise? Yes ☒ No ☐

If no, explain why.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies⁶

Date	From Whom	Purpose	Amount
July 5, 2002	Republic of Haiti	Fees for July & airfare reimbursement	\$30,823.40
August 5, 2002	Republic of Haiti	Fees for August	\$30,000.00
September 5, 2002	Republic of Haiti	Fees for September	\$30,000.00
October 5, 2002	Republic of Haiti	Fees for October	\$30,000.00
November 5, 2002	Republic of Haiti	Fees for November	\$30,000.00
December 5, 2002	Republic of Haiti	Fees for December	\$30,000.00
			\$180,823.40
		Total	

(b) RECEIPTS - FUND RAISING CAMPAIGN

During this 6 month reporting period, have you received, as part of a fund raising campaign⁷, any money on behalf of any foreign principal named in items 7, 8, and 9 of this statement? Yes ☐ No ☒

If yes, have you filed an Exhibit D to your registration? Yes ☐ No ☐

If yes, indicate the date the Exhibit D was filed. Date _____

(c) RECEIPTS-THINGS OF VALUE

During this 6 month reporting period, have you received any thing of value⁹ other than money from any foreign principal named in Items 7, 8, and 9 of this statement, or from any other source, for or in the interests of any such foreign principal?

Yes ☐ No ☒

If yes, furnish the following information:

Name of foreign principal	Date received	Description of thing of value	Purpose
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^{6, 7} A registrant is required to file an Exhibit D if he collects or receives contributions, loans, money, or other things of value for a foreign principal, as part of a fund raising campaign. (See Rule 201(e).)

⁸ An Exhibit D, for which no printed form is provided, sets forth an account of money collected or received as a result of a fund raising campaign and transmitted for a foreign principal.

⁹ Things of value include but are not limited to gifts, interest free loans, expense free travel, favored stock purchases, exclusive rights, favored treatment over competitors, "kickbacks," and the like.

15. (a) **DISBURSEMENTS-MONIES**

During this 6 month reporting period, have you

(1) disbursed or expended monies in connection with activity on behalf of any foreign principal named in Items 7, 8, and 9 of this statement? Yes ☒ No ☐

(2) transmitted monies to any such foreign principal? Yes ☐ No ☒

If no, explain in full detail why there were no disbursements made on behalf of any foreign principal.

If yes, set forth below in the required detail and separately for each foreign principal an account of such monies, including monies transmitted, if any, to each foreign principal.

Date	To Whom	Purpose	Amount
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See attached.

Total

(b) DISBURSEMENTS-THINGS OF VALUE

During this 6 month reporting period, have you disposed of anything of value¹⁰ other than money in furtherance of or in connection with activities on behalf of any foreign principal named in Items 7, 8, and 9 of this statement?

Yes ☐No ☒

If yes, furnish the following information:

Date disposed	Name of person to whom given	On behalf of what foreign principal	Description of thing of value	Purpose
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(c) DISBURSEMENTS-POLITICAL CONTRIBUTIONS

During this 6 month reporting period, have you from your own funds and on your own behalf either directly or through any other person, made any contributions of money or other things of value¹¹ in connection with an election to any political office, or in connection with any primary election, convention, or caucus held to select candidates for political office?

Yes ☒No ☐

If yes, furnish the following information:

Date	Amount or thing of value	Name of political organization	Name of candidate
July 2002	\$500.00*	Friends of Barbara Lee	Barbara Lee
July 2002	\$250.00#	Friends of Barbara Lee	Barbara Lee
October 2002	\$500.00*	Friends of Carolyn Kilpatrick	Carolyn Kilpatrick
September 2002	\$ 50.00##	Democratic Congressional Campaign Committee	
October 2002	\$100.00##	Friends of Barbara Boxer	Barbara Boxer
October 2002	\$250.00**	Friends of Barbara Boxer	Barbara Boxer
December 2002	\$100.00##	Democratic Congressional Campaign Committee	
December 2002	\$500.00##	Shaw for Congress	Cathryn Shaw

*Contributions made by Ronald V. Dellums

#Contributions made by Charles C. Stephenson, Jr.

** Contributions made by Dellums, Brauer, Halterman & Associates, LLC

##Contributions made by H. Lee Halterman

V - INFORMATIONAL MATERIALS

16. During this 6 month reporting period, did you prepare, disseminate or cause to be disseminated any informational materials¹²?
 Yes ☐ No ☒

IF YES, RESPOND TO THE REMAINING ITEMS IN SECTION V.

17. Identify each such foreign principal.

N/A

18. During this 6 month reporting period, has any foreign principal established a budget or allocated a specified sum of money to finance your activities in preparing or disseminating informational materials? Yes ☐ No ☐

If yes, identify each such foreign principal, specify amount, and indicate for what period of time.

N/A

19. During this 6 month reporting period, did your activities in preparing, disseminating or causing the dissemination of informational materials include the use of any of the following: N/A

☐ Radio or TV
broadcasts

☐ Magazine or
newspaper
articles

☐ Motion picture films

☐ Letters or telegrams

☐ Advertising
campaigns

☐ Press releases

☐ Pamphlets or other
publications

☐ Lectures or speeches

☐ Other (specify) _____

20. During this 6 month reporting period, did you disseminate or cause to be disseminated informational materials among any of the following groups: N/A

☐ Public Officials

☐ Newspapers

☐ Libraries

☐ Legislators

☐ Editors

☐ Educational institutions

☐ Government agencies

☐ Civic groups or associations

☐ Nationality groups

☐ Other (specify) _____

21. What language was used in the informational materials:

☐ English

☐ Other (specify) N/A _____

22. Did you file with the Registration Unit, U.S. Department of Justice a copy of each item of such informational materials disseminated or caused to be disseminated during this 6 month reporting period? N/A Yes ☐ No ☐

23. Did you label each item of such informational materials with the statement required by Section 4(b) of the Act? N/A

Yes ☐

No ☐

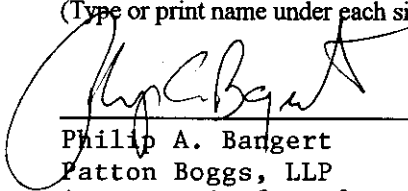
¹² The term informational materials includes any oral, visual, graphic, written, or pictorial information or matter of any kind, including that published by means of advertising, books, periodicals, newspapers, lectures, broadcasts, motion pictures, or any means or instrumentality of interstate or foreign commerce or otherwise. Informational materials disseminated by an agent of a foreign principal as part of an activity in itself exempt from registration, or an activity which by itself would not require registration, need not be filed pursuant to Section 4(b) of the Act.

VI-EXECUTION

In accordance with 28 U.S.C. § 1746, the undersigned swear(s) or affirm(s) under penalty of perjury that he/she has (they have) read the information set forth in this registration statement and the attached exhibits and that he/she is (they are) familiar with the contents thereof and that such contents are in their entirety true and accurate to the best of his/her (their) knowledge and belief, except that the undersigned make(s) no representation as to truth or accuracy of the information contained in the attached Short Form Registration Statement(s), if any, insofar as such information is not within his/her (their) personal knowledge.

(Date of signature)

January 31, 2003

(Type or print name under each signature¹³)
Philip A. Bangert
Patton Boggs, LLP
Attorney in fact for
Dellums, Brauer, Halterman & Associates, LLC

¹³ This statement shall be signed by the individual agent, if the registrant is an individual, or by a majority of those partners, officers, directors or persons performing similar functions, if the registrant is an organization, except that the organization can, by power of attorney, authorize one or more individuals to execute this statement on its behalf.

**UNITED STATES DEPARTMENT OF JUSTICE
FARA REGISTRATION UNIT
CRIMINAL DIVISION
WASHINGTON, D.C. 20530**

NOTICE

Please answer the following questions and return this sheet in triplicate with your Supplemental Statement:

1. Is your answer to Item 16 of Section V (Informational Materials - page 8 of Form CRM-154, formerly Form OBD-64-Supplemental Statement):

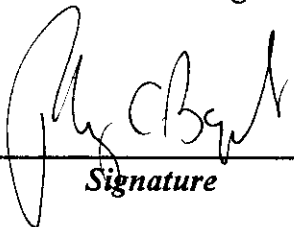
YES _____ or NO _____ ☒

(If your answer to question 1 is "yes" do not answer question 2 of this form.)

2. Do you disseminate any material in connection with your registration:

YES _____ or NO _____ ☒

(If your answer to question 2 is "yes" please forward for our review copies of all material including: films, film catalogs, posters, brochures, press releases, etc. which you have disseminated during the past six months.)



Signature

1/31/03

Date

Philip A. Bangert
Please type or print name of
signatory on the line above

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Attorney in fact for
Dellums, Brauer, Halterman and Associates, LLC
Title

THIS FORM IS TO BE AN OFFICIAL ATTACHMENT TO YOUR CURRENT
SUPPLEMENTAL STATEMENT - PLEASE EXECUTE IN TRIPPLICATE

SHORT-FORM REGISTRATION INFORMATION SHEET

SECTION A

The Department records list active short-form registration statements for the following persons of your organization filed on the date indicated by each name. If a person is not still functioning in the same capacity directly on behalf of the foreign principal, please show the date of termination.

Short Form List For Registrant: Dellums, Brauer, Halterman & Associates, LLC

Last Name	First Name and Other Names	Registration Date	Termination Date	Role
Dellums	Ronald V.	7/26/01		
Dellums	Cynthia Lewis	7/26/01		
Halterman	H. Lee	7/26/01		
Stephenson	Charles C.	7/26/01		

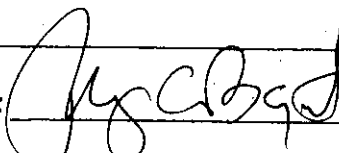
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SECTION B

In addition to those persons listed in Section A, list below all current employees rendering services directly on behalf of the foreign principal(s) who have not as yet filed short-form registration statements. (Do not list clerks, secretaries, typists or employees in a similar or related capacity. If there is some question as to whether an employee has an obligation to file a short-form, please address a letter to us describing the activities and connection with the foreign principal.)

Name	Function	Date Hired

Signature: _____



Date: January 31, 2003

Title: Attorney in fact for Dellums, Brauer, Halterman and Associates, LLC

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Answer to Question 11

July 1, 2002 Dellums and Stephenson meet with Luigi Einaudi, Assistant Secretary General of the Organization of American States (OAS) to discuss strategy negotiations with the Government of Haiti (GOH). The meeting covered the development of a strategy that could potentially move the process forward that could lead to elections in Haiti.

July 7-10, 2002 Dellums and Stephenson travel to Haiti to meet with President Aristide regarding the negotiation process and to assist with discussions with the OAS. The focus of the trip was to update the President of efforts concerning the resumption of aid to Haiti from the international financial institutions as well as progress in OAS.

July 23, 2002 Meeting with Misty Brown, Executive Assistant for Congresswoman Carrie Meek to discuss the Organization of American States response to moving the democratic process forward in Haiti. We also discussed what the Congressional Black Caucus could do to obtain information regarding the process.

July 23, 2002 Meeting with Michael Riggs, Senior Legislative Assistant for Congresswoman Barbara Lee to discuss the Organization of American States response to moving the democratic process forward in Haiti. We also discussed what the Congressional Black Caucus could do to obtain information regarding the process.

July 23, 2002 Participated in a conference call with representatives of several NGOs interested in the status of restoring financing aid to Haiti. Participants included staff of the Quixote Center and Haiti Reborn.

July 25, 2002 Dellums meets with Luigi Einaudi, Assistant Secretary General of the Organization of American States. Meeting discussed the process by which Haiti could move the process forward to establish the CEP that is necessary in order to have elections.

July 25, 2002 Meeting with the Congresspersons Barbara Lee, Maxine Waters, Corrine Brown, Carrie Meek, John Conyers and Donna Christensen. Members of the Congressional Black Caucus participated in a press conference to discuss their meeting with the OAS on ways to move the democratic process forward in Haiti.

July 31, 2002 Placed call to Jendayi Frazer, Special Assistant to President Bush, NSC, regarding Haiti.

August 14, 2002 Meeting with Michael Riggs, Senior Legislative Assistant for Congresswoman Barbara Lee, to discuss the current status of aid to Haiti.

August 16, 2002 Dellums meeting with Luigi Einaudi, Assistant Secretary General of the OAS to discuss ongoing efforts of negotiations with GOH.

August 20, 2002 Meeting with Asyha House, Senior Legislative Assistant for Congresswoman Barbara Lee, to discuss the upcoming Congressional Black Caucus issue forum regarding HIV/AIDS in Haiti.

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Answers to Question 11 continued

September 5, 2002 Meeting Michael Riggs, Senior Legislative Assistant for Congresswoman Barbara Lee to discuss strategies for obtaining additional co-sponsors for H. Con. Res. 382.

September 10, 2002 Meeting with Melinda Miles, Executive Director of Haiti Reborn to discuss strategies for increasing support for H. Con Res. 382 and to generally support additional aid to Haiti.

September 13, 2002 Attended Congressional Black Caucus Braintrust meeting regarding HIV/AIDS in Haiti and how to attract additional resources for the country. The meeting also discussed the increasing problems associated with HIV/AIDS and the need for assistance to fight the disease.

September 20, 2002 Dellums places call to Mathew McHugh, Counsel to the President of the World Bank to set up meeting to discuss what it would take to resume aid to Haiti.

September 24, 2002 Contacted Misty Brown of the CBC staff, to set up meeting for Finance Minister Jean Faubert Gustave, during his trip to United States.

October 1, 2002 Dellums and Stephenson meet with Finance Minister Gustave to discuss his meeting with the IDB, IMF and World Bank. The Minister was in the United States conducting a series of meeting intended to attract resources from the international financial institutions.

October 14, 2002 Dellums spoke with Mathew McHugh, Counsel to President of World Bank, regarding a meeting with Wolfenshon. The purpose of the meeting is to discuss mechanisms that could re-engage the World Bank in Haiti.

October 29, 2002 Dellums meets with Elliott Kalter of the IMF to discuss how Haiti could access approved loans to the country.

October 31, 2002 Dellums places call to Secretary Colin Powell to discuss United States policy regarding Haiti.

November 11, 2002 Dellums and Stephenson meet with David DeFarrente, VP of the World Bank; Orsalia Kalantzopoulos, Director of the Office of Caribbean Affairs; Joelle Dehasse, Operations Officer for the Caribbean. The meeting discussed the World Bank considering alternative avenues for disbursement of resources to Haiti. The meeting was to serve as a starting point to re-engage the World Bank and to foster creative programs to aid Haiti.

November 20, 2002 Dellums meets with Orsalia Kalantzopoulos, Joelle Dehasse and Matt McHugh. The meeting centered on measures that were developed that would allow the Bank to re-engage with Haiti.

November 25, 2002 Stephenson lunch meeting with Michael Riggs and Aysha House of Congresswoman Barbara Lee's staff to discuss status of loans to Haiti and what could be done to assist the process.

Answers to Question 11 continued

November 26, 2002 Dellums speaks with Congresswoman Barbara Lee regarding CBC efforts to assist Haiti.

December 4, 2002 Dellums met with Luigi Einaudi at the OAS to discuss destabilization efforts in Haiti. Mr. Einaudi was very concerned that efforts are proving to be successful in retarding assistance to the Government of Haiti.

December 31, 2002 Dellums and Stephenson met representatives of various NGOs working to improve US relations and attract resources for the GOH. The meeting focused on issues surrounding the country.

Answers to Question 12

July 1, 2002 Dellums and Stephenson meet with Luigi Einaudi, Assistant Secretary General of the Organization of American States (OAS) to discuss strategy negotiations with the Government of Haiti (GOH). The meeting covered the development of a strategy that could potentially move the process forward that could lead to elections in Haiti.

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Answer to Question 15(a)

<u>Date</u>	<u>To whom</u>	<u>Amount</u>	<u>Purpose</u>
7/8/2002	Ronald V. Dellums	\$15,000	Member draw for client
7/8/2002	Cynthia Dellums	\$ 6,000	Consultant fee
7/8/2002	Charles Stephenson	\$ 7,500	Consultant fee
7/8/2002	Charles Stephenson	\$ 823.40	Reimbursement (air fare)
8/5/2002	Ronald V. Dellums	\$15,000	Member draw for client
8/5/2002	Cynthia Dellums	\$ 6,000	Consultant fee
8/5/2002	Charles Stephenson	\$ 7,500	Consultant fee
9/2002	Ronald V. Dellums	\$12,000	Member draw for client
9/2002	Cynthia Dellums	\$ 6,000	Consultant fee
9/2002	Charles Stephenson	\$ 7,500	Consultant fee
10/2002	Ronald V. Dellums	\$12,000	Member draw for client
10/2002	Cynthia Dellums	\$ 6,000	Consultant fee
10/2002	Charles Stephenson	\$ 7,500	Consultant fee
11/5/2002	Ronald V. Dellums	\$12,000	Member draw for client
11/5/2002	Cynthia Dellums	\$ 6,000	Consultant fee
11/5/2002	Charles Stephenson	\$ 7,500	Consultant fee
12/2002	Ronald V. Dellums	\$12,000	Member draw for client
12/2002	Cynthia Dellums	\$ 6,000	Consultant fee
12/2002	Charles Stephenson	\$ 7,500	Consultant fee